



COMDTINST 16000.27  
JUN 30 2005

COMMANDANT INSTRUCTION 16000.27

Subj: ALIGNMENT WITH THE NATIONAL INCIDENT MANAGEMENT SYSTEM AND  
NATIONAL RESPONSE PLAN

Ref: (a) National Incident Management System (NIMS), 1 March 2004  
(b) National Response Plan (NRP), December 2004  
(c) United States Coast Guard National Incident Management System (NIMS) and National  
Response Plan (NRP) Implementation Plan, 29 December 2004  
(d) U.S. Coast Guard Incident Management Handbook, COMDTINST P3120.17 (series)  
(e) Homeland Security Presidential Directive 5 (HSPD-5) - Management of Domestic Incidents  
(f) National Oil and Hazardous Substances Pollution Contingency Plan (NCP), 40 CFR 300  
(g) Coast Guard Contingency Preparedness System (CPS), COMDTINST 3010.22 (series)

1. **PURPOSE.** This Instruction establishes a process and outlines responsibilities for aligning the Coast Guard's incident management structure with the requirements of the National Incident Management System (NIMS) per reference (a), and National Response Plan (NRP) per reference (b), and provides overarching implementation guidance.
2. **ACTION.** Area and district commanders, commanders of maintenance and logistics commands, commanding officers of headquarters units, assistant commandants for directorates, Judge Advocate General, and special staff offices at Headquarters shall ensure that the provisions of this Instruction are followed. Internet release authorized.
3. **DIRECTIVES AFFECTED.** Reference (c) established an implementation plan that includes revisions to specific plans and directives, including the U.S. Coast Guard Incident Management Handbook, reference (d), and supplemental guidance for Incident Management Assist Teams (IMAT). This instruction re-establishes authority for Areas to develop and maintain IMAT capabilities that was previously an element of Coast Guard Incident Command System Implementation Plan, COMDTINST 3120.15, which was superseded by reference (c).

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	a	b	c	d	e	f	g	h	i	j	k	l	m	n	o	p	q	r	s	t	u	v	w	x	y	z
A																										
B	1	8	10	1	1			1		1			1	5		1	1	1		1	1			1		
C	2	2			3					1	1			2		1	1								5	
D	1	1		1	1	1						1	1					1								
E	1				1				1						1											
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NON-STANDARD DISTRIBUTION:

#### 4. BACKGROUND.

- a. NIMS provides a consistent, nationwide approach for Federal, State, local, and tribal governments; the private sector; and nongovernmental organizations (NGOs) to work together effectively and efficiently to prepare for, prevent, respond to, and recover from domestic incidents regardless of cause, size, or complexity. The NIMS includes a core set of concepts, principles, and terminology to provide for interoperability and compatibility among Federal, State, local, tribal, and private sector capabilities. Reference (a) identifies these as the Incident Command System (ICS); multi-agency coordination systems; training; identification and management of resources (including systems for classifying types of resources); qualification and certification; and the collection, tracking, and reporting of incident information and incident resources.
- b. The NRP is an all-hazard, all-discipline plan and is a specific application of NIMS for events that are designated as Incidents of National Significance, which includes credible threats or acts of terrorism, major disasters, and emergencies. The NRP is the core operations plan for national incident management. It details the federal coordinating structures and processes that will be used during an Incident of National Significance.
- c. The NRP does not alter the statutory responsibilities of Federal, State, local, or tribal departments and agencies and is built on existing systems and best practices. The plan distinguishes between national-level incidents that require coordination by the Department of Homeland Security (DHS), which are termed Incidents of National Significance, and the majority of incidents that will be handled through existing emergency authorities and plans by responsible jurisdictions and agencies such as the Coast Guard.
- d. Funding processes are not changed by the NRP or NIMS. Specifically, there is no change to the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Oil Spill Liability Trust Fund (OSLTF), or Stafford Act funding processes. Funding issues are further discussed in Enclosure (2).
- e. The NRP was fully implemented on April 14, 2005, beginning an initial 240-day assessment and testing period after which revisions are anticipated.
  - (1) On April 14, 2005, the NRP superseded the Federal Response Plan (FRP), the US Domestic Terrorism Concept of Operations Plan (CONPLAN), the Federal Radiological Emergency Response Plan (FRERP), and the Interim NRP, and incorporated other national interagency plans such as reference (f). Plans currently under development, including the National Maritime Security Plan (NMSP) and Maritime Infrastructure Recovery Plan (MIRP), will align with the NRP.
  - (2) Commencing on April 14, 2005, departments and agencies assigned coordinating, primary, and support roles under the NRP were required to immediately staff the NRP organizational structures as needed.

- (3) In most cases, minor changes will need to be made to existing Coast Guard contingency plans to reflect changes in roles and responsibilities, staffing of NRP coordinating structures, and changes in terminology.
- f. The majority of incidents will be managed locally under existing authorities and plans without the need for coordination by the Secretary of Homeland Security. In the context of an Incident of National Significance, supplemental agency or interagency plans may be utilized concurrently with the NRP, but under the overarching core coordinating structures, processes, and protocols detailed in the NRP.
- g. When the Secretary of Homeland Security declares an Incident of National Significance, a Federal facility referred to as a Joint Field Office (JFO) may be established locally to provide a central point for Federal, State, local and tribal executives with responsibility for incident oversight, direction, and/or assistance to effectively coordinate protection, prevention, preparedness, response, and recovery actions. Establishment of the JFO may be preceded by establishment of a functionally equivalent but smaller-scale temporary field facility, referred to as an Interim Operating Facility (IOF), during the early stages of an incident under certain conditions. Enclosures (2) and (3) provide additional information regarding JFOs and JFO staffing issues.
- h. Coast Guard resources needed to respond to Incidents of National Significance may exceed resources that are available locally or regionally. Coast Guard Area and District Commanders should be prepared to provide resources to other Coast Guard commanders to support an NRP response to Incidents of National Significance that occur outside of their normal geographical area of responsibility (AOR).

## 5. DISCUSSION.

- a. Commandant's Intent. The Coast Guard will actively prepare for and, when necessary, respond in accordance with the NRP using our full suite of emergency authorities and capabilities. The Coast Guard will be ready to operate in accordance with the NRP and will complete all necessary planning adjustments by September 30, 2005, as required by Reference (c).
- b. Alignment Process.
  - (1) This Instruction provides a consistent and demonstrable approach for ensuring alignment of contingency plans and conformance with NRP processes and protocols. It directs the United States Coast Guard staffing of the coordinating mechanisms described in NIMS and the NRP to the levels necessary to ensure that the Coast Guard is ready to perform its responsibilities under the NRP.
  - (2) Immediately adopt and comply with NIMS and NRP principles, coordination, and staffing requirements for supporting National Special Security Events (NSSE) and in preparing for, preventing, responding to, and recovering from an Incident of National Significance.
  - (3) Subsequent activities include the following items:

- (a) By September 16, 2005, complete field-level NIMS and NRP alignment implementation actions required by reference (c). To facilitate accomplishment of this task, a NIMS and NRP Alignment Certification Checklist is included as Enclosure (1).
- (b) By September 30, 2005, complete agency NIMS and NRP alignment implementation actions required by reference (c).
- (c) Identify, train, and maintain core staff to immediately deploy in response to an NRP event.
- (d) Track and report NRP alignment progress as specified by paragraph 9 of this Instruction.

6. RESPONSIBILITIES.

a. Coast Guard Headquarters.

- (1) Designate program-leads for NIMS and NRP implementation, including programs that will represent the Coast Guard in development of capabilities, support, and coordination for NRP Emergency Support Functions (ESFs).
- (2) Report NRP alignment progress as required by the Secretary, Department of Homeland Security, via the Commandant (G-C).
- (3) Align applicable Commandant and program plans with NIMS and the NRP. Complete and insert a copy of Enclosure (1) for plans held at Coast Guard Headquarters.
- (4) Align applicable policies, directives, doctrine, manuals, and other documents with the NIMS and NRP.
- (5) Identify, plan for, and provide staff for the NIMS and NRP national-level coordinating structures.
- (6) Align training requirements to support the implementation of NIMS and the NRP. Ensure that exercise programs adequately test the NRP and its implementation.

b. Area Commanders.

- (1) Working with other departments, agencies, and planning and response bodies at the Coast Guard Area level, coordinate the following:
  - (a) Align applicable Coast Guard Area plans with the NIMS and NRP. Complete and insert a copy of Enclosure (1) and Attachment A to Enclosure (1) for plans held at Areas.
  - (b) Plan and provide for field organizational constructs per Attachment A to Enclosure (1) and Enclosure (2) as follows:
    - 1. Develop capability to concurrently staff a separate JFO in each district's AOR.

2. Consider using the prototype model for JFO staffing described in Enclosure (3) to promote a consistent approach.
- (2) Develop and maintain IMATs that are sized, trained, and equipped to support field-level Unified Commands, NIMS Area Commands, and JFO deployments.
  - (3) Align applicable Coast Guard Area policies, directives, doctrine, manuals, and other documents with NIMS and the NRP.
  - (4) Oversee the NIMS and NRP alignment and provide progress reports to Commandant (G-OPF) in accordance with paragraph 9b of this Instruction.
  - (5) Align training to support the implementation of the NIMS and NRP. Ensure exercise programs adequately test the NRP and its implementation.
- c. District Commanders.
- (1) Working with other departments, agencies, and planning and response bodies at the regional level, coordinate the following:
    - (a) Align applicable district and regional plans with the NIMS and NRP. Complete and insert a copy of Enclosure (1) and Attachment A to Enclosure (1) for plans held at districts.
    - (b) Plan and provide for field constructs per Attachment A to Enclosure (1) and Enclosure (2), as follows:
      1. Identify, plan for, and provide staff for NIMS Area Commands and JFOs. Consider using the prototype model for JFO staffing described in Enclosure (3) to promote a consistent approach.
      2. Provide appropriate support to ESFs 1, 3, 4, 8, 9, 10 and 13. Refer to Standard Operating Procedures (SOP) for ESFs when promulgated. Coordinate with the designated coordinating agency for each ESF to participate in planning, training and staffing as required.
  - (2) Align applicable district policies, directives, doctrine, manuals, and other documents with the NRP and NIMS.
  - (3) Oversee NRP alignment by district units.
  - (4) Align training to support the implementation of the NIMS and NRP. Ensure that planned exercises adequately test the NRP and its implementation.
- d. Commanding Officers of Headquarters Units.
- (1) Align applicable plans, policies, directives, doctrine, manuals, and other documents with the NIMS and NRP.

- (2) Align training to support the implementation of the NIMS and NRP. Ensure that planned exercises adequately test the NRP and its implementation.
- e. Sector Commanders and Commanding Officers of Marine Safety Offices, Air Stations, and Groups.
  - (1) Working with other Federal, State, and local departments, agencies, tribes, the private sector, and planning and response bodies at the local level, coordinate the following:
    - (a) Align applicable Area Contingency Plans, Area Maritime Security Plans, and other applicable plans, manuals, and other documents with the NIMS and NRP. Complete and insert a copy of Enclosure (1) and Attachment A to Enclosure (1) for locally-held plans.
    - (b) Plan and provide for field constructs, per Attachment A to Enclosure (1) and Enclosure (2), as follows:
      - 1. In coordination with district commanders, identify, plan for, and provide supporting staff for the NIMS Incident Command Post (ICP). Sectors may play a significant role in a JFO that is activated for an NSSE.
      - 2. Identify, plan for, and provide liaisons to local emergency operations centers and similar response organizations as appropriate.
  - (2) Align training to support the implementation of the NIMS and NRP. Ensure that planned exercises adequately test the NRP and its implementation.
- f. Coast Guard Officers Serving as Senior Federal Official (SFO).
  - (1) Serve as the Coast Guard Area or District Commander's designated representative to the JFO, as appropriate. For a Spill of National Significance (SONS), the area or district commander will serve as the Commandant's designated representative (see Enclosure (2)).
  - (2) Establish Coast Guard interface with Principal Federal Official (PFO) and JFO Coordination Group.
  - (3) Provide reach back from the JFO to Coast Guard operational and support commanders at the Coast Guard Area or District levels, as appropriate.
  - (4) Perform the duties prescribed for the SFO in reference (b) and the *Interagency Integrated Standard Operation Procedure, Joint Field Office (JFO) Activation and Operations* once published and in effect.
  - (5) For incidents involving oil and hazardous materials releases in the coastal zone, coordinate activities directly between the On-Scene Coordinator (OSC) and the Regional Response Teams (RRT) with the JFO per ESF-10 and the "Oil and Hazardous Materials Incident" annexes of the NRP.

## 7. PROCEDURES.

### a. Plan Alignment.

- (1) Organize Coast Guard prevention, preparedness, response, and recovery plans to support key NIMS and NRP processes and organizational structures and be capable of seamlessly transitioning from a response to a non-Incident of National Significance to a response under the NRP.
- (2) Perform NRP alignment for plans identified by reference (c) as follows:
  - (a) Make corrections where practicable to address minor changes necessary for consistency with references (a) and (b).
  - (b) Complete and insert a copy of Enclosure (1) with Attachment (a) to Enclosure (1) in the front of the plan to serve as a record of your interim changes.
  - (c) Prepare and include interim supplemental pages behind the Enclosure (1) insert, as appropriate, to address NIMS and NRP alignment issues.
  - (d) Schedule and make permanent changes to plans following the normal plan revision and review process, insofar as practicable. Otherwise, schedule and undertake as a high priority item revision of plans that require substantial modifications.

### b. Policies, Procedures, Directives, and Manuals. Review and identify revisions needed to align with and support the NRP and the Coast Guard's responsibilities under related directives. Prioritize, schedule, and undertake the necessary revisions within 18 months from the effective date of this Instruction, or the next scheduled update, whichever occurs first. Note review and approval of changes in the Contingency Preparedness System as required by reference (g).

### c. Coast Guard Operations During an NRP Response.

- (1) Perform Coast Guard missions as required during an NRP response, with adjustments of service levels and redirection of resources, as appropriate.
- (2) Recognizing Coast Guard forces may be assigned tasks outside of their normal missions, ensure Coast Guard forces perform only tasks within their authorities and capabilities.
- (3) Ensure that Coast Guard forces observe applicable Coast Guard policies, doctrine, tactics, procedures, safety, personal protective equipment (PPE) requirements, and other pertinent criteria when providing services or support and when executing Coast Guard authorities.
- (4) Observe procedures for search and rescue operations as specified by Enclosure (4).

### d. Representation of Coast Guard Special Team Capabilities. Coast Guard plans that potentially involve the employment of special teams with unique capabilities, such as the National Strike Force (NSF), Public Information Assist Team (PIAT), and Enhanced Marine Safety and Security

Teams (EMSST), will identify responsibility for subject matter expert representation of team capabilities to the Joint Operations Center (JOC) and JFO, as appropriate. Keeping classification and need-to-know in mind, charge those representatives with keeping the Coast Guard SFO informed of team special capabilities and potential areas for employment, and with working through the SFO with respect to committing Coast Guard special team resources to the operation.

- e. Incident Communications. Nothing in this instruction eliminates or modifies the need to keep the Coast Guard chain of command informed in accordance with applicable directives.
- 8. ENVIRONMENTAL ASPECT AND IMPACT ASSESSMENT. Environmental considerations were examined in the development of this Instruction and have been determined to be non-applicable.
- 9. FORMS/REPORTS.
  - a. Forms. None.
  - b. Reports. Areas shall provide Commandant (G-OPF) with NIMS and NRP alignment progress updates for the Areas, Districts and Commands under their control, as follows:
    - (1) Report the status of plan certification by September 16, 2005. Include the following items in the report:
      - (a) Identification of units that have not completed certification.
      - (b) Reason for non-certification.
      - (c) Anticipated date for completion of certification.
    - (2) Submit a status report via record correspondence at the end of each quarter updating NIMS and NRP alignment progress for plans, policies, and procedures that are the subject of this Instruction.

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- Encl: (1) NIMS and NRP Alignment Certification Checklist  
(1) NIMS and NRP Field Construct Organizational Structures and Issues  
(2) Prototype JFO Staffing Planning Factors  
(3) Coast Guard SAR Procedures in Relation to the National Incident Management System



## NIMS AND NRP ALIGNMENT CERTIFICATION CHECKLIST

*(Local reproduction authorized)*

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**Name of Plan:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Plan Holder (Unit):** \_\_\_\_\_

- Ref:
- (a) National Incident Management System (NIMS), 1 March 2004
  - (b) National Response Plan (NRP), December 2004
  - (c) Alignment with the National Incident Management System and National Response Plan, COMDTINST 16600.27 series
  - (d) United States Coast Guard National Incident Management System (NIMS) and National Response Plan (NRP) Implementation Plan, 29 December 2004

1. The following actions have been taken to align this plan with references (a) and (b), consistent with the guidance provided by reference (c). *(Check boxes as appropriate.)*

☐ This plan prescribes the use of the Incident Command System (ICS) as per the National Incident Management System (NIMS), reference (a).

☐ This plan meets the requirements of reference (a) or corrections have been made where practicable to address minor changes necessary for consistency with reference (a).

☐ This plan meets the requirements of reference (a) or corrections have been made where practicable to address minor changes necessary for consistency with reference (b).

☐ Supplemental pages listed as Attachments to this certification have been prepared and included as attachments to this certification to address NRP alignment issues beyond minor changes.

☐ This plan is scheduled for a formal revision to be completed by \_\_\_\_\_ *(insert required completion date)* in accordance with reference (d).

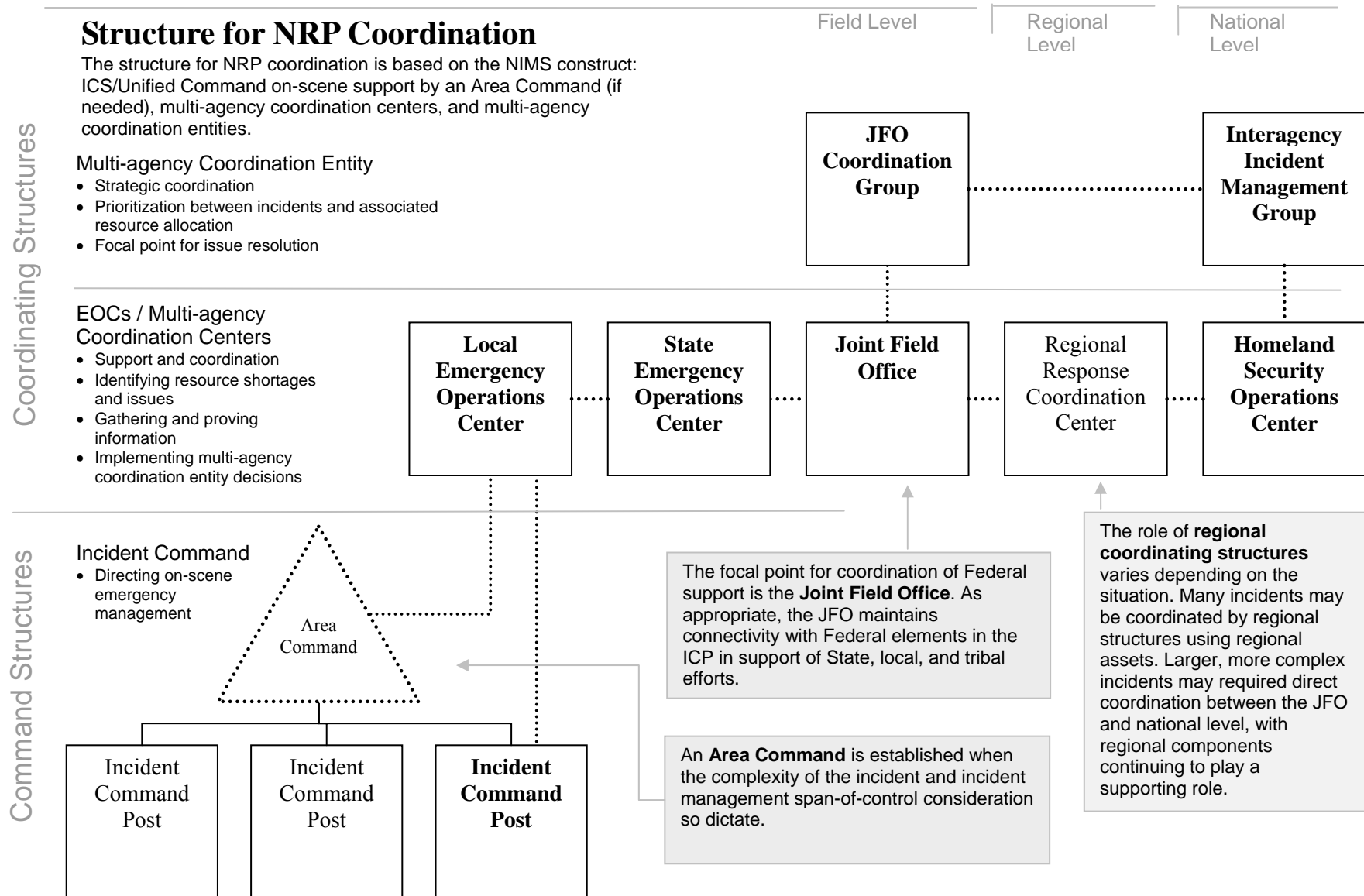
2. When this plan is executed, it will supplement the overarching core coordinating structures, processes, and protocols detailed in the NRP. Figure 1 of attachment (a) depicts the NRP coordinating structures specified by reference (a). This figure is included in this revised plan.

\_\_\_\_\_ *(Name of person responsible for changes)*

\_\_\_\_\_ *(Title)*

Attachments:

- (a) - Structure for NRP Coordination



**Figure 1** Coordinating structures from the National Response Plan

## **NIMS and NRP Organizational Structures and Issues**

Ref: (a) National Incident Management System (NIMS), 1 March 2004  
(b) National Response Plan (NRP), December 2004

1. PURPOSE. This enclosure provides descriptions and implementation guidance pertaining to the National Incident Management System (NIMS), National Response Plan (NRP), Area Commands, Joint Field Offices (JFOs), Emergency Support Functions (ESFs), Training and National Level Exercises, and Response Funding.
2. NIMS AND NRP ORGANIZATIONAL STRUCTURES.
  - a. NIMS Area Command.
    - (1) As per the NIMS and NRP, references (a) and (b) respectively, NIMS Area Commands are established when the complexity of an incident and incident management span-of-control considerations so dictate. NIMS Area Commands are distinct from, and not to be confused with, Coast Guard Area Commands. For the purpose of this discussion, the term Area Command refers to the Area Command under NIMS and the NRP. Where both the NIMS and USCG Area Commands are mentioned, an appropriate clarification is included in the text.
    - (2) Generally, the administrator(s) of the agency having responsibility over the incident make(s) the decision to establish an Area Command.
    - (3) The purpose of an Area Command is either to oversee the management of multiple incidents that are each being handled by a separate Incident Command System (ICS) organization or to oversee the management of a very large or complex incident that has multiple interagency incident management teams assigned.
    - (4) The NIMS Area Command is generally used when there are a number of incidents in the same geographic area and of the same type, such as multiple hazardous material (HAZMAT) releases or fires as these are the kinds of incidents that may compete for the same resources. When incidents are of different types and/or do not have similar resource demands, they are usually handled as separate incidents or are coordinated through an Emergency Operations Center (EOC). If the incidents under the responsibility of the Area Command span multiple jurisdictions, a Unified Area Command should be established. This allows each agency or organization involved to have appropriate representation in the Area Command.
    - (5) For the incidents under its jurisdiction, the NIMS Area Command:
      - (a) Sets overall incident-related priorities;
      - (b) Allocates critical resources according to the established priorities;
      - (c) Ensures that incidents are properly managed;

- (d) Ensures effective communications;
  - (e) Ensures that incident management objectives are met and do not conflict with each other or with agency policies;
  - (f) Identifies critical resource needs and reports them to the interagency coordination system (i.e., USCG Command Centers, county and state EOCs, JFO);
  - (g) Ensures that short-term “emergency” recovery is coordinated to assist in the transition to full recovery operations; and
  - (h) Provides for personnel accountability and a safe operating environment.
- (6) The NIMS Area Command develops an action plan detailing incident management priorities, needs, and objectives. This plan should clearly state policies, objectives, and priorities; provide a structural organization with clear lines of authority and communications; and identify incident management functions to be performed by the Area Command (i.e., support, public communications).
- b. Joint Field Office.

(1) JFO Description and Functions.

- (a) The JFO is a multi-agency coordination center. JFOs have Operations Sections, and depending on the incident, these Operations Sections have specific incident supporting functions. Another key component of a JFO is the JFO Coordination Group which is typically coordinated by a Principal Federal Official (PFO). PFOs are not always designated for Incidents of National Significance, but when they are, they represent the Secretary and are not considered a representative of the providing agency.
- (b) The purpose of a JFO is to provide support to local Incident Command structures and coordinate efforts to address broader regional impacts of the incident. It provides a central location for coordination of federal, state, local, tribal, nongovernmental, and private-sector organizations. The JFO is intended to enable the effective and efficient coordination of federal incident-related prevention, preparedness, response, and recovery actions. It does not supplant the authorities and operational decision-making of field level Incident Commanders or agency-specific authorities; nor does the JFO supplant the Unified Command Incident Command Post (ICP) where coordinated tactical level response and recovery activities are managed. The NRP provides four examples of possible JFOs. These include organizations for *natural disasters*, *terrorism*, *Federal- to-Federal support* and *National Special Security Events* (NSSE). The management structure for each is depicted in reference (a).

(2) JFO for Natural Disasters.

- (a) A JFO established for a natural disaster is typically the result of a Stafford Act declaration whereby the Federal Emergency Management Agency (FEMA) has authority to stand up appropriate ESFs and issue mission assignments to federal and state agencies.

The JFO replaces the FEMA Disaster Field Office (DFO). The ESFs operating from this JFO serve as the primary mechanism for bringing federal support to an affected region. ESFs engaged by FEMA are led by the primary agency(ies) as per the NRP.

- (b) The Coast Guard's primary support of this JFO would be through appropriate ESFs (see ESF section) regardless of where the impacted area is located. ESFs are managed through the Operations Section of the JFO. If the disaster includes significant coastal area impacts, the Coast Guard should plan to staff the JFO, as appropriate; this might include serving as a Senior Federal Official (SFO) and/or working within Planning and/or Logistics and Operations, particularly if the Coast Guard is supporting or leading an ESF(s).

(3) JFO for Terrorism Response.

- (a) This JFO is established when counterterrorism operations are required and/or response and recovery to an incident caused by terrorism must be supported. The primary purpose of this JFO is to provide coordination between law enforcement actions and incident management operations. The Federal Bureau of Investigation (FBI) will activate a Joint Operations Center (JOC) under the direction of an FBI Special Agent-in-Charge. Upon establishment of a JFO, the JOC is integrated into the JFO and becomes a branch under its Operations Section.

The NRP requires the FBI to assign a Unified Command member to the ICP to direct domestic tactical law enforcement operations and ensure that these operations are coordinated with the response and recovery operations.

- (b) For a terrorism-caused incident in the coastal zone, the Coast Guard would staff both the ICP field-level Unified Command managing the incident(s), and the JFO to support the overall incident(s). In most cases, counterterrorism operations will occur within a short time period and it is unlikely a JFO would stand up immediately. Depending on the nature of the incident, increased prevention operations may be required within the affected area. In this case, the JFO would typically provide guidance and support in coordination with the Intelligence Joint Task Force (JTF). The affected Area Maritime Security Committee and Area Maritime Security Plan would play central roles in these efforts.
- (c) Coast Guard plans that potentially involve the deployment of special teams with unique capabilities, such as the National Strike Team (NST), Enhanced Marine Safety and Security Teams (EMSST), and Public Information Assist Teams (PIAT), will identify responsibility for subject-matter expert representation of team capabilities to the JOC/Operations Section/Planning section as appropriate. Keeping classification and need to know in mind, those representatives will also be charged with keeping the Coast Guard Senior Federal Official (SFO) informed of their special capabilities and potential areas for employment and must work through the SFO with respect to committing Coast Guard special team resources to the operation.

(4) JFO for Federal-to-Federal Support.

- (a) This type of JFO is used for non-terrorism incidents that, due to their actual or potential impacts to public health, to the environment, or to the economy, are so severe that they reach the level of an Incident of National Significance. The NRP uses the National Contingency Plan (NCP)-defined *Spill of National Significance* (SONS) as an example of this type of event. Other coastal zone incidents that have the potential to meet these criteria could include large-scale maritime mass migration, widespread power outages, or significant public unrest brought on by political, social, or economic developments.
- (b) As per the NCP and NRP, the Commandant retains the sole authority for designating a coastal zone oil or hazardous substance release a SONS. A SONS is a unique oil or hazardous substance event(s) that overwhelms local and regional capabilities and typically involves issues of national and/or international importance, such as incidents crossing international borders, overlapping federal authorities, impacts to Department of Defense (DoD) facilities and operations, major impacts to maritime commerce, or significant public and/or political pressures.

If a SONS determination is made, the DHS Secretary and National Response Team (NRT) will be advised of the decision and a JFO will be stood up by the Coast Guard. In this case, the Commandant will designate a Coast Guard District or Area Commander to serve as the SFO. The terms *National Incident Commander* and *National Incident Command* will no longer be used.

- (c) Coast Guard District and Area personnel will staff the NIMS Area Command and/or JFO and ensure that appropriate National Response System (NRS) members are apprised of any NIMS and NRP changes. Changes are being made to the current Regional/National Incident Command (RIC/NIC) training program. Further guidance on JFO coordination and logistics will be forthcoming in the JFO Standard Operating Procedures (SOP) (expected promulgation July 2005).

(5) JFO for National Special Security Event.

- (a) NSSEs are designated by the Secretary, Department of Homeland Security (DHS). These events include summits of world leaders, meetings of international organizations, national political party conventions, and major national or international sporting events which, by virtue of their political, economic, social, or religious significance, may be targets of terrorism or other criminal activity. NSSE JFOs develop and implement security and incident recovery plans for these types of events.
- (b) DHS and Secret Service have primary responsibility for developing and implementing security (which could include the deployment of EMSST). FBI has primary responsibility for law enforcement and intelligence, and DHS/FEMA/Emergency Preparedness and Response (EP&R) have primary responsibility for emergency response and recovery planning and coordination. When NSSEs occur within or are near Coast Guard Captain of the Port (COTP) zones, the cognizant District and Sector or Marine Safety Office (MSO) should be engaged, as appropriate, in the planning and coordination of these three mission focus areas.

c. Emergency Support Functions at the Regional Level.

- (1) ESFs can be employed for any incident, regardless if a JFO or NIMS Area Command has been established. In most cases, they are the result of a Stafford Act Declaration and are activated by FEMA. ESF SOPs will be developed at the national level by the designated primary and supporting agencies. Actual staffing of the ESFs is done by regional agency representatives. Coast Guard Headquarters programs, as identified below, will coordinate with the primary and support ESF agencies in the development of SOPs, and ensure consistent ESF support throughout the Coast Guard.
- (2) ESFs, and the support they provide, are described in reference (b). ESFs are typically activated by the JFO or Regional Response Coordination Center (RRCC), and once established, provide their support to the incident. The Coast Guard has been identified as having a primary or support role in the following ESFs (USCG program leads are shown in parentheses):
  - (a) ESF 1 – Transportation. (G-OPF)
  - (b) ESF 3 – Public Works and Engineering. (G-OPN)
  - (c) ESF 4 – Firefighting. (G-MOR)
  - (d) ESF 8 – Public Health and Medical Services (Note: Requirement is for transportation support through ESF #1). (G-OPF)
  - (e) ESF 9 – Urban Search and Rescue. (G-OPR)
  - (f) ESF 10 – Oil and Hazardous Material Response. (G-MOR)
  - (g) ESF 13 – Public Safety and Security. (G-MPP, G-OPC and G-OPL)
  - (h) ESF 15 – External Affairs. (G-IPA) (Note: Although not specifically listed as having a support role, the Coast Guard is listed as having a role for external affairs elsewhere in the NRP and its Annexes.)
- (3) Coast Guard Roles Relative to ESFs.

(a) ESF – 1 Transportation.

1. The primary agency for ESF–1 is the Department of Transportation. DHS is a support agency. DHS identifies and arranges for the use of Coast Guard assets and resources in support of the ESF–1 mission. ESF-1 plays a significant role in the repair and recovery of transportation systems.
2. If this ESF is activated, the cognizant Coast Guard District Commander will arrange resource support as available. Staffing this ESF by District personnel will depend on the magnitude of the incident. Staffing support from other Districts should be considered.

(b) ESF 3 – Public Works and Engineering.

1. DoD/U.S. Army Corps of Engineers is designated as the coordinator for ESF #3.
2. As a support agency, the Coast Guard may be called upon to coordinate the marking and removal of obstructions declared to be hazards to navigation and provide assistance in debris and contaminated debris management activities when debris or runoff impact navigable waters. This includes coordinating and/or providing resources, assessments, expertise, technical assistance, monitoring, and other appropriate support.

(c) ESF – 4 Firefighting.

1. The Department of Agriculture/Forest Service is the primary agency for ESF-4. Staffing for this ESF would be provided by DHS.
2. The Coast Guard provides support for marine firefighting incidents. Marine firefighting support includes USCG resources, technical expertise, as well as implementing a port's Marine Fire Fighting Contingency Plan.
3. This support would be operational in nature in that any Coast Guard support would most likely be immediately requested of the MSO or Sector. No ESF staffing is expected.

(d) ESF – 8 Public Health and Medical Services. The Department of Health and Human Services is the primary agency for ESF-8. DHS, through ESF-1, identifies and arranges for the use of Coast Guard aircraft and other assets in providing urgent airlift and other transportation support. No direct ESF staffing is expected. Requests for USCG assets should be made through the cognizant District Commander.

(e) ESF – 9 Urban Search and Rescue.

1. DHS/FEMA is the primary agency for ESF-9.
2. The USCG assists in water rescue in areas of inundation and provides aircraft and boat assets. In the event the incident involves damaged buildings with hazardous materials or hazardous environments, the National Strike Force (NSF) may be requested in support of this ESF, or through ESF-10, if activated.
3. In cases of widespread flooding where this ESF has been established and long-term Coast Guard support of the operation is envisioned, the cognizant District should directly staff this ESF (most likely collocated with the JFO).

(f) ESF-10 Oil and Hazardous Materials Response.

1. ESF-10-lead is based on EPA and USCG FOSC jurisdictions, which are delineated in Regional and Area Contingency Plans.



2. An ESF-10 activation could be the result of a Stafford Act declaration, a terrorism incident, or if warranted, complex oil or hazardous material releases that may or may not be considered Incidents of National Significance. The NRP Oil and Hazardous Material Annex addresses those oil and hazardous material Incidents of National Significance that are managed through concurrent implementation of the NRP and the NCP, but are not ESF-10 activations. For any oil or hazardous substance release, the NCP and its supporting plans will be utilized.
3. The most likely activations of this ESF would be for a natural disaster that has significant oil and/or hazardous material contamination or a terrorism-involved hazardous substance incident(s). In either case, if the response and recovery area is within the Coast Guard FOSC area of responsibility, the Coast Guard must provide leadership of this ESF. For incidents that impact both Coast Guard and EPA jurisdictions, the EPA may lead this ESF and the Coast Guard will serve as deputy.

(g) ESF-13 Public Safety and Security.

1. DHS and Department of Justice are the primary agencies for ESF-13.
2. The USCG provides support within this ESF through its authorities under the Ports and Waterways Safety Act (PWSA), Magnuson Act (50 U.S.C. 191), and Maritime Transportation Safety Act (MTSA) of 2002 authorities and resources. This includes coordination of local maritime security planning efforts, the application of various port security plans, establishment of safety and security zones, and control of vessel movement. The Coast Guard is also tasked to provide certain specialized rapid response forces for maritime interdiction and law enforcement, detection of weapons of mass destruction, commercial port protection and anti-sabotage, and other maritime security activities. ESF-13 will require District staffing to ensure mission assignments are carried out expeditiously and that USCG operational activities are monitored and relayed. Supplemental staffing with subject matter experts may also be appropriate if specialized capabilities are required.
3. NRP COMPONENTS. The following text summarizes the content of certain NRP annexes.
  - a. Incident Annexes. The NRP Incident Annexes address contingency or hazard situations requiring specialized incident-specific implementation of the NRP. The Annexes describe the missions, policies, responsibilities, and coordination processes that govern the interaction of public and private entities engaged in incident management and emergency response operations across a spectrum of potential hazards. The Annexes are typically augmented by a variety of supporting plans and operation supplements.
  - b. Support Annexes. The Support Annexes describe the framework through which Federal departments and agencies; State, local, and tribal entities; the private sector; volunteer organizations; and nongovernmental organizations, such as the American Red Cross, coordinate and execute the common functional processes and administrative requirements necessary to ensure efficient and effective incident management. The Support Annexes address procedural, administrative, and financial elements required to support incident management.

- c. Terrorism Incident Law Enforcement and Investigation Annex. This annex describes interagency actions, responsibilities, and equities in focusing U.S. assets against a terrorist threat under the purview of the FBI as the lead federal agency. It focuses on domestic land threats. The Coast Guard continues to develop and expand its maritime threat and counterterrorism component and capabilities beyond that included under ESF-13.

#### 4. TRAINING AND EXERCISES.

- a. Training. Training will continue to be conducted in accordance with existing program guidance, except as noted below:
  - (1) ICS training will be in accordance with *United States Coast Guard National Incident Management System (NIMS) and National Response Plan (NRP) Implementation Plan*, dated 29 December 2004.
  - (2) District and Area staff members identified for JFO staffing will require Area Command – JFO training (formerly known as RIC/NIC; currently being updated to reflect NRP/NIMS). DHS- and FEMA-provided training for Area Command and JFO management is also satisfactory.
- b. Exercises. Exercises will continue to be conducted in accordance with existing program guidance, except as noted below:
  - (1) SONS-specific elements will be exercised as part of the SONS exercise program but may be incorporated into certain TOPOFF exercises. SONS exercises can occur on a biannual or triannual basis depending on their relationship to other national level exercises.
  - (2) National Maritime Security Plan (NMSP)-specific elements will be exercised as part of the NMSP program (to be published).

#### 5. FUNDING RESPONSE AND OPERATIONS UNDER NRP.

- a. Funding Mechanisms. The NRP does not create any new funding sources. It does identify procedures for agency funding and reimbursement in the Financial Management Support Annex of the NRP. The primary emergency response funding mechanisms under the Oil Spill Liability Trust Fund (OSLTF), Comprehensive Environmental Response, Compensation, and Liability (CERCLA)/SUPERFUND, and the Robert T. Stafford Disaster Relief and Emergency Assistance Act have not changed. Absent the use of these three funding mechanisms, agencies are expected to support any NRP incident or operation from their own budgets.
- b. Fund Management. Fund management for NRP incidents where the Coast Guard provides personnel, equipment, or support shall follow existing policy as stated below. It is imperative that Coast Guard operational commanders are familiar with the National Pollution Funds Center (NPFC) User Reference Guide, Supplement to Coast Guard Marine Safety Manual Vol. 9, COMDTINST 16000.14.
  - (1) Commandant (CG-83) manages funding received for:

- (a) ESFs 1 through 9, and 11 through 15;
- (b) Any NRP Support Annexes; and
- (c) NRP Incident Annexes specified below:

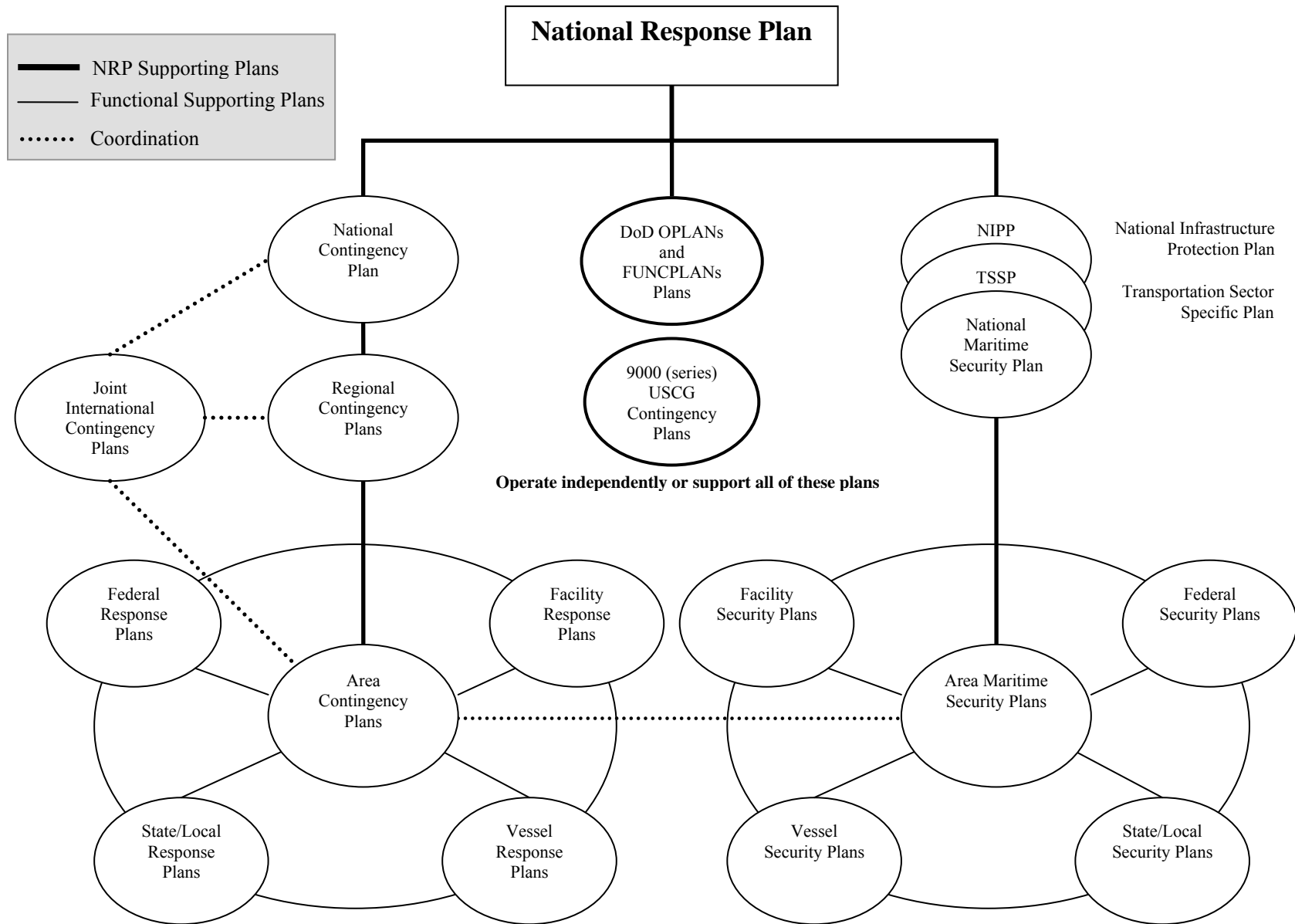
- 1. Biological Incident
- 2. Catastrophic Incident
- 3. Cyber Incident
- 4. Food and Agriculture Incident
- 5. Nuclear/Radiological Incident
- 6. Terrorism Incident Law Enforcement and Investigation.

- (2) The NPFC manages funding received for:

- (a) ESF-10: Oil and Hazardous Materials Response.
- (b) NRP Incident Annex for Oil and Hazardous Materials Incidents.

- (3) NPFC continues to manage funds from the pollution trust funds (OSLTF for oil incidents and CERCLA/SUPERFUND for hazmat incidents) under the NCP, which will be incorporated into the NRP effective 14 April 2005.

- 6. PLANS UNDER THE NATIONAL RESPONSE PLAN. The diagram depicted in figure 1 shows how the primary incident management and security plans support and relate to one another and ultimately support the NRP. The vast majority of incidents the Coast Guard manages are covered in existing plans under the NRP. Only when incidents rise to the level of an Incident of National Significance (or NSSE) does the NRP come to bear. The key thing that must change in our Coast Guard and multi-agency plans like the Area Contingency Plans and Area Maritime Security Plans is how they, and their NIMS management constructs (agencies that support response and security in a particular area), are supported by the NRP for Incidents of National Significance.



**Figure 1** NRP Plan Relationships.

## **Prototype JFO Staffing Planning Factors**

### **1. JOINT FIELD OFFICE (JFO) STAFFING ISSUES.**

- a. Scope and Purpose. The prototype JFO staffing planning factors provided by this enclosure are considered preliminary guidance. Use of this prototype model by field commanders is discretionary when developing appropriate internal arrangements and procedures to represent Coast Guard issues and capabilities when a JFO is activated in which Coast Guard participation is indicated. The assumptions and planning factors included in paragraphs 2 and 3 below provide a frame of reference for assessing resource requirements for Coast Guard core staffing of a JFO and for making interim JFO staffing assignments while experience is gained with the JFO component of the National Incident Management System (NIMS).
- b. Staffing Variability. JFO staffing to meet the needs of each Incident of National Significance and National Special Security Events (NSSE) will vary as will the timeframe for initiating JFO functions. Therefore, JFO staffing arrangements must be flexible to meet the needs that develop. When the Coast Guard is involved in a National Response Plan (NRP) response and a JFO is stood up, it is anticipated that a core Coast Guard staff will be needed, supplemented, as appropriate, by additional staff scaled to the character and extent of the incident or event.
- c. Coast Guard JFO Advance Team. In order to initiate a core response, an advance Coast Guard team, drawn from a pre-designated qualified staff, needs to be available within a reasonable mobilization and deployment window. The advance team will need to assess and arrange for supplemental Coast Guard staffing as circumstances warrant. Core team functional responsibilities include but are not limited to:
  - (1) Representation and coordination of Coast Guard support issues for concurrent execution of agency emergency, regulatory, and law enforcement authorities and Coast Guard contingencies under the NRP Base Plan.
  - (2) Coordination of support for security, response (whether conventional or counterterrorism), and transportation infrastructure recovery, correlated with expectations for Emergency Support Functions (ESFs) 13, 10 and 1 respectively, and representation of Coast Guard capabilities that could be utilized in support of ESF-9 (Urban Search and Rescue), as well as tasks outside of normal Coast Guard missions.
  - (3) Reaching back to Coast Guard operational and support commanders for subject-matter expertise, as required.

### **2. ASSUMPTIONS FOR JFO STAFFING.**

- a. JFO Standard Operating Procedures. The Coast Guard will be required to deploy JFO staff consistent with the *Interagency Integrated Standard Operating Procedures for Joint Field Office (JFO) Activation and Operations* upon its effective date.
- b. Advance Team. A Coast Guard JFO advance team consisting of 4 persons with pertinent qualifications will be sufficient to initiate coverage for any JFO type.

- c. Level of Representation. A Coast Guard officer of O-6 rank will be needed in a JFO to represent Coast Guard interests and make or represent decisions pertaining to Coast Guard issues.
- d. Knowledge Needed. Basic knowledge needed upon JFO standup will include Coast Guard authorities, responsibilities and capabilities for Coast Guard missions, oil and hazardous materials response (ESF-10), Public Safety and Security (ESF-13), Transportation including recovery from transportation security incidents with maritime implications (ESF-1), and urban search and rescue (ESF-9).
- e. National Special Security Event (NSSE). For NSSEs, there will normally be sufficient advance notice of the event to assess JFO staffing needs, including a determination through the Coast Guard chain-of-command as to whether or not specialized capabilities are required. In most cases, the most appropriate staffing source will be from the Sector in which the NSSE occurs.

### 3. PLANNING FACTORS FOR JFO STAFFING.

- a. JFO Standard Operating Procedures. Planning for JFO staffing will be guided by the *Interagency Integrated Standard Operating Procedures for Joint Field Office (JFO) Activation and Operations* upon its effective date.
- b. Coast Guard Knowledge and Expertise. The baseline Coast Guard-specific knowledge needed in a JFO includes Coast Guard operations and marine safety, security and pollution response authorities, resources and capabilities, and general subject-matter knowledge for response, security, and recovery of transportation infrastructure and Coast Guard search and rescue and transportation support capabilities.
- c. Core JFO Staffing. The core JFO staffing requirement is a 4-member team led by an officer of O-6 rank. Subject-matter expertise is provided by O-5 to senior O-3 officers, or GS equivalent. If required, the O-6 will serve as the Coast Guard Senior Federal Official (SFO), or as the interim Coast Guard SFO pending assignment of a Coast Guard flag officer, if required.
- d. Scalable Staffing. Staffing levels may be increased or decreased according to the coordination and support needs of the incident. The Coast Guard SFO, if assigned, otherwise the Coast Guard representative leading the Coast Guard JFO team, will consult with pertinent Coast Guard district and/or area and federal officials in the JFO regarding staffing issues.
- e. Advance Team Deployment. The Coast Guard JFO advance team will deploy as soon as practicable consistent with mission requirements, after the Coast Guard has been notified that a JFO is being stood up and Coast Guard participation is required, either in response to an Incident of National Significance that has been declared by the Secretary of Homeland Security or to notification from the Federal Emergency Management Agency (FEMA) at the regional level, whichever occurs first.
- f. Advance Team Deployment Kit. An advance team deployment kit should be established and maintained in ready status for each JFO. The kit should include such items as suitable portable communications and computer capabilities; coordination resources, including points of contact; and Coast Guard resource and capability information.

- g. Supplemental Staffing. The Coast Guard JFO advance team will assess the need for and coordinate provision of a Coast Guard SFO and supplemental Coast Guard staff support to a JFO, as appropriate.
- (1) The assessment will include the need for subject-matter expertise in capabilities of Coast Guard special teams in the JFO and/or the Joint Operations Center (JOC). These subject-matter experts will be charged with keeping the Coast Guard SFO informed of team special capabilities and potential areas for employment.
  - (2) Coast Guard resources such as Incident Management Assist Team (IMAT) may serve as a primary source of resources for supplementing the Coast Guard core JFO team as necessary and appropriate. Refer to paragraph 6b(1)(b)(2) of COMDTINST 16600.27, which re-establishes authorization to develop and maintain an IMAT capability.
- h. NSSE JFO Staffing. NSSE JFOs are field-level organizations that develop the security for events and develop tactical contingency plans for any incident that may arise during the event. Therefore, Sector personnel should be engaged in these JFOs as appropriate. The Coast Guard JFO advance team may serve as staff augmentation and support of the Sector Commander. If deployment of specialized Coast Guard security response/counterterrorism capabilities is associated with the NSSE, the default core staffing will be expanded to include a qualified individual to represent team capabilities.
- i. SFO Responsibilities. Functional responsibilities of Coast Guard officers serving as SFO include the following items.
- (1) Represent the Coast Guard and, in some cases, the Regional Response Teams (RRTs) under the National Contingency Plan (NCP) to the JFO, serving as the Coast Guard area or district commander's designated representative, as appropriate. For a Spill of National Significance (SONS), the area or district commander will serve as the Commandant's designated representative.
  - (2) Establish Coast Guard interface with Principal Federal Official (PFO) and JFO Coordination Group.
  - (3) Provide reach back from the JFO to Coast Guard operational and support commanders at the Coast Guard area or district levels, as appropriate.
  - (4) Perform the duties prescribed for the SFO in reference (b) and the JFO SOP when published and in effect.

**Coast Guard SAR Procedures  
in Relation to the National Incident Management System**

Ref: (a) National Incident Management System (NIMS), 1 March 2004  
(b) United States Coast Guard National Incident Management System (NIMS) and National Response Plan (NRP) Implementation Plan, 29 December 2004  
(c) National Search and Rescue Plan, 1999  
(d) U.S. Coast Guard Addendum to the National SAR Supplement (CGAD), COMDTINST M16130.2 (series)  
(e) National Response Plan (NRP), December 2004

1. PURPOSE. This enclosure prescribes the procedures that apply for Search and Rescue (SAR) operations in relation to the National Incident Management System (NIMS), reference (a).
2. BACKGROUND. The procedures that applied to SAR operations were previously included in Coast Guard Incident Command System Implementation Plan, COMDTINST M3120.15, that was superseded by reference (b).
3. DISCUSSION. The procedures specified in paragraph 4 replace those that were incorporated in COMDTINST M3120.15 and provide continuity with applicable treaties, rules, regulations and practices.
4. PROCEDURES.
  - a. SAR operations must be carried out in accordance with reference (c), which adopts international SAR terminology and procedures of the International Aeronautical and Maritime Search and Rescue Manual and other pertinent documents used worldwide, and of the interagency U.S. National SAR Supplement to the IAMSAR Manual. These documents have their basis in international law that U.S. SAR services are obligated to follow, and have practical benefits that are intended to maximize the effectiveness of SAR operations. These advantages apply to daily SAR operations, but may be particularly critical when working with other military services, SAR authorities of other nations and with ships or aircraft at sea. In addition, provisions of the Coast Guard Addendum, reference (d), apply to the SAR mission.
  - b. SAR personnel should be trained to routinely use standard SAR terminology and procedures regardless of the scope of the SAR incident. SAR operations primarily include actions related to locating and assisting persons in actual or apparent distress.
  - c. When an emergency warrants responses in addition to SAR, including urban search and rescue (US&R) under the National Response Plan (NRP), reference (e), the NIMS Incident Command System (ICS) will be used for overall response management, and responsible SAR personnel should simply designate an appropriate representative (e.g., ICS SAR Group Supervisor or subject matter expert) to help coordinate SAR operations with the designated Incident Commander (IC). Activities other than SAR could include salvage, body recovery, pollution response, investigation or other operations that are sometimes closely associated with SAR, as well as support to the Federal Emergency Management Agency (FEMA) for US&R.



- d. Response to a SAR incident may involve a SAR mission coordinator (SMC), an on scene coordinator (OSC), and aircraft coordinator (ACO), and an IC. In such cases, the person serving as IC may also be performing one of the other mentioned functions, but the term “Incident Commander” is not interchangeable with titles associated with the other SAR functions.
- e. Coast Guard personnel with SAR responsibilities should receive sufficient NIMS ICS and NRP training to enable them to carry out their respective duties during events where NIMS ICS is being used and also when providing support for US&R under the NRP.